MARKOV KATANA

1 Markov Katana: a Novel Method for Bayesian Resampling of

2 Parameter Space Applied to Phylogenetic Trees

- 3
- Stephen T. Pollard¹, Kenji Fukushima¹, Zhengyuan O. Wang², Todd A. Castoe³ and David D.
 Pollock^{1*}
- ¹Department of Biochemistry and Molecular Genetics, University of Colorado School of
 Medicine, Aurora, CO 80045
- 8 ²Washington University School of Medicine, St. Louis, MO 63110
- ³University of Texas Arlington, TX 90238
- ^{*}Correspondence to: <u>David.Pollock@ucdenver.edu</u>, 12801 E 17th Ave, MS 8101, Aurora, CO
- 11 80045; 303-724-3234
- 12
- 13

MARKOV KATANA

14 ABSTRACT

15 Phylogenetic inference requires a means to search phylogenetic tree space. This is usually 16 achieved using progressive algorithms that propose and test small alterations in the current tree 17 topology and branch lengths. Current programs search tree topology space using branch-18 swapping algorithms, but proposals do not discriminate well between swaps likely to succeed or 19 fail. When applied to datasets with many taxa, the huge number of possible topologies slows these programs dramatically. To overcome this, we developed a statistical approach for proposal 20 21 generation in Bayesian analysis, and evaluated its applicability for the problem of searching 22 phylogenetic tree space. The general idea of the approach, which we call 'Markov katana', is to 23 make proposals based on a heuristic algorithm using bootstrapped subsets of the data. Such 24 proposals induce an unintended sampling distribution that must be determined and removed to 25 generate posterior estimates, but the cost of this extra step can in principle be small compared to 26 the added value of more efficient parameter exploration in Markov chain Monte Carlo analyses. 27 Our prototype application uses the simple neighbor-joining distance heuristic on data subsets to 28 propose new reasonably likely phylogenetic trees (including topologies and branch lengths). The 29 evolutionary model used to generate distances in our prototype was far simpler than the more 30 complex model used to evaluate the likelihood of phylogenies based on the full dataset. This 31 prototype implementation indicates that the Markov katana approach could be easily 32 incorporated into existing phylogenetic search programs and may prove a useful alternative in 33 conjunction with existing methods. The general features of this statistical approach may also 34 prove useful in disciplines other than phylogenetics. We demonstrate that this method can be 35 used to efficiently estimate a Bayesian posterior.

36

2

Key words: phylogenetics, tree search, Bayesian, bootstrap

MARKOV KATANA

37 INTRODUCTION

38 Phylogenetic inference has long played a pivotal role in molecular evolution and evolutionary 39 genomics (e.g. Felsenstein 2004; Vonk 2013; Fukushima 2017). It provides unique information 40 about gene and protein interactions (Wang 2005; Hackett 2007; Reyes-Prieto 2007; Craig 2007) 41 and is critical for detecting adaptive bursts and functional divergence (e.g. Castoe 2008; Castoe 42 2009). Despite its importance, phylogenetic inference is difficult partly because searching tree space is an NP-hard problem (Bodlaender 1992; Brocchieri 2001). Distance-based methods such 43 44 as neighbor-joining (NJ; (Saitou 1987)) are fast and often provide good approximate results but 45 are considered less reliable than the computationally expensive (Hershkovitz 1998; Takahashi 46 2000; Whelan 2001) likelihood-based methods (maximum likelihood, ML, and Bayesian or 47 posterior probability, PP). While distance methods generate a single tree using heuristic 48 approaches, likelihood methods must search tree space, generally by running an optimization 49 scheme or Markov chain Monte Carlo (MCMC). Tree space is often searched using various 50 forms of branch swapping (Felsenstein 1981; Huelsenbeck 1997, 2001; Sullivan 2005; 51 Anisimova 2006). A cautious approach to interpreting results from traditional branch-swapping 52 algorithms is warranted, particularly for trees with sequences from many taxa (Mossel 2005). 53 The principle confounding effect in phylogenetic inference is that multiple substitutions 54 may occur at the same site. Distance-based methods are inferior to likelihood-based methods in 55 accurately inferring multiple substitutions (Felsenstein 1984; Huelsenbeck 1996; Xia 2006). 56 Distance-based methods are also far more strongly biased by long-branch attraction and cannot 57 fully incorporate the advantages of site-specific models of evolution (Huelsenbeck 1995, 1997; 58 Pollock 1998). Another major class of phylogenetic analysis, based on the principle of maximum 59 parsimony, will not be considered here because parsimony methods are far slower than distance

MARKOV KATANA

60	methods, and they do not accurately model evolutionary processes despite having the same
61	biases and inaccuracies as distance methods. The computational limitations of likelihood-based
62	methods become far more severe with large amounts of sequence data from highly diverse sets
63	of organisms (Pollock 2000; Sanderson 2003; A. J. de Koning 2010). For example there are
64	$2.75*10^{76}$ possible topologies relating 50 taxa (Felsenstein 2004), making exhaustive approaches
65	impossible. Branch-and-bound searches can reduce the tree space to be examined for smaller
66	trees but are insufficient for large datasets because the number of tree topologies is still too large
67	(Hendy 1982). Thus, heuristic searches must be used for large trees, evaluating trees that are
68	proximal to reasonably likely trees that have already been found. These searches are currently
69	often performed using branch-swapping algorithms such as nearest-neighbor interchange (NNI),
70	subtree pruning and regrafting (SPR) and tree bisection and reconnection (TBR) (e.g. Ronquist
71	2003; Salemi 2009). The number of NNI, SPR, and TBR neighbors of any topology increase
72	respectively as linear, quadratic, and cubic functions of the number of taxa, and the trees
73	proposed are not necessarily of similar likelihood to the known tree. Therefore, many highly
74	improbable trees are evaluated in branch-swapping algorithms, and the correct solution is not
75	guaranteed due to the presence of local optima in tree space (Mossel 2005). Branch length
76	optimization (or posterior equilibration) must also be performed after branch swapping and is an
77	additional source of computational cost.
78	Several heuristic approaches have been developed to release tree searches from local

Several heuristic approaches have been developed to release tree searches from local optima. Ratchet methods employ multiple initial trees perturbed by bootstrap resampling to ensure a less-overlapping tree space in subsequent optimizations using branch swapping (Nixon 1999; Vos 2003). The partial stepwise addition (PSA) approach enables escape from local optima by removing some taxa during the topology search (Whelan 2007). Simulated annealing

MARKOV KATANA

(SA; Kirkpatrick 1983) and Metropolis-coupled Markov chain Monte Carlo (MCMCMC; Geyer
1991) manipulate a likely range of proposed tree acceptances in a single heuristic search or in
multiple interacting chains, respectively. Genetic algorithms (GAs) simulate the population
dynamics of tree topologies using likelihood as a fitness parameter (Matsuda 1995). These
methods outperform simple heuristic searches in at least some contexts. All approaches listed
above employ branch swapping to explore tree space and therefore suffer from inefficiency due
to the decoupling of topology proposals from the likelihoods of the topologies.

90 Here we consider whether the beneficial features of Bayesian analyses under relatively 91 complex models can be profitably combined with the speed of distance methods based on 92 relatively simple models. The key to our approach is that rather than using branch swapping to 93 explore phylogenetic tree space, distance-based trees predicted from partially sampled sequences 94 are used. We use Markov chain Monte Carlo (MCMC) and a Metropolis-Hastings algorithm in 95 which new steps in the chain are proposed based on bootstrap resampling a proportion of the 96 current sequence sample. Heuristic phylogenetic trees based on the new sample are created using 97 NJ and the likelihoods of the new trees are evaluated using the full sequence dataset and the 98 mtMam model (Yang 1998). The unwanted sampling distribution induced by the NJ proposal 99 mechanism is estimated by running the proposal mechanism without calculating the likelihoods 100 of the proposed trees. The posterior is then corrected for this sampling distribution. We evaluated 101 the effect of different site sample sizes used to generate the NJ trees (sample size) and different 102 resample proportions (jump size).

MARKOV KATANA

103 MATERIALS AND METHODS

104 Mitochondrial Sequences

105 The 495 amino acid COI 1249-taxon mitochondrial gene alignment from Goldstein et al 106 was used (Goldstein 2015). 10 taxa were arbitrarily selected from the alignment to use for testing 107 and are shown in Table 1.

108 Program Details

A Perl program, *MarkovKatana*, was written to implement the Markov chain bootstrapping algorithm. *MarkovKatana* takes multiple sequence alignments in the fasta format and outputs phylogenetic trees in the Newick format, along with likelihood values. Another program *Forest* was written to analyze the trees generated by *MarkovKatana* to calculate tree and branch frequencies. *MarkovKatana* and *Forest* were tested on and are compatible with current Unix-based operating systems as well as Windows. The program *PAML* was used to calculate the likelihoods for the trees using the entire alignment of 495 amino acids (Yang 2007).

116 Branch Prior Calculations

117 Branch priors were calculated as

118
$$P(B_1 | N, s_l) = \frac{T_s^r * T_{N-s}^r}{T_N^u}, \qquad (1)$$

119 where T_x^r and T_x^u are respectively the number of possible rooted and unrooted topologies with x 120 taxa, N is the total number of taxa being evaluated, and s is the smaller number of taxa that are 121 segregated on one side or the other of branch B_b (Pickett 2005).

122 MARKOV KATANA 122 Modifying Implementation of NJ in Markov Katana to Improve Branch

123 Length Estimation

In initial runs, the NJ algorithm often generated unrealistically short branches, so to counteract this we lengthened the shortest branches by adding a random number from 0 to 2 substitutions (a branch length increase of 0 to 2/495). This limited the effect of these implausibly short branches in the proposal mechanism. Short branches were still possible, but extremely short branches were not as likely to be proposed.

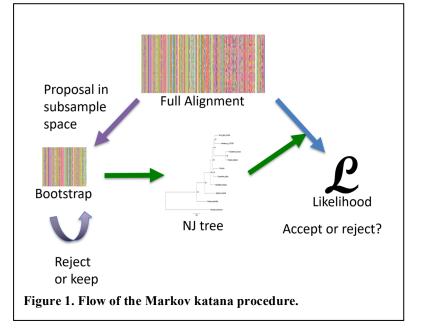
129 **R**ESULTS

130 Details of the Markov Katana Implementation

131 A bootstrap sampling procedure (Felsenstein 1985; Zharkikh 1995) was employed to 132 sample sites in the alignment that were then used to calculate distance matrices. Although 133 complete and partial bootstrapping has been used extensively in phylogenetic studies to evaluate 134 branch support and tree confidence (Efron 1996; Alfaro 2003), we used it solely to generate a 135 broad distribution of reasonably likely trees based on the NJ heuristic. Note that while partial 136 sampling is more common when employing the related jackknife approach, bootstrapping 137 approaches such as that employed here sample with replacement, rather than without 138 replacement as in the jackknife. Depending on the number of sites sampled (the sample size), 139 trees produced from partial sequence samples can be quite different from the ML tree of the 140 entire alignment and considerably less likely (Castoe 2009). Evaluating the posterior distribution 141 with an importance sampling approach using these trees is not feasible because the extreme 142 variation in likelihoods among trees means that a few trees would dominate the weighted

MARKOV KATANA

- 143 importance sampling average (Kuhner 1995). Instead, it is necessary to use a progressive
- 144 Markov chain approach to evaluate the posterior, such as the Metropolis-Hastings algorithm
- 145 (Hastings 1970), in which the proposed sample depends on the current sample (Fig. 1). Only a
- 146 fraction of sites is resampled in each generation of the chain. The NJ tree generated from the
- 147 proposed sample updates both 148 branch lengths and topology 149 simultaneously, and the 150 likelihood of this proposal was 151 then calculated on the full 152 alignment. The number of sites 153 resampled was uniform 154 randomly chosen up to some 155 maximum, which we will call 156 the 'jump size'.



157 **Posterior Calculations**

To obtain the posterior, the uncorrected distribution of trees after the initial Markov katana (MK) run must be corrected for the bias induced by the proposal mechanism. In these runs, the sample size as a fraction, f, and the jump size, j, were variable parameters and differed among runs as specified. For a given sampled generation, k, the alignment sample at that generation produced a NJ genealogy, G_k , with topology, T_i . The proportion of times that each different topology was produced by the chain out of K sampled generations in the chain is an estimator of the uncorrected posterior for a given sample size, f, or

MARKOV KATANA

170

 $\hat{U}_f(T_i) = \frac{1}{K} \sum_{k=1}^K \delta(T_i, G_k)$ (2)

where $\delta(T_i, G_k)$ is a delta function equal to 1 if G_k has topology T_i and otherwise 0. To obtain the corrected topology posterior, $C(T_i)$, we first estimate the topology sampling bias $\hat{\beta}_f(T_i)$ induced by NJ proposals with sampling fraction *f*, by sampling *K*' genealogies from a separate chain in which all proposals are accepted, to obtain

$$\hat{\beta}_{f}(T_{i}) = \frac{1}{K'} \sum_{k'=1}^{K'} \delta(T_{i}, G_{k'})$$
(3)

We note that this procedure is identical to obtaining a NJ partial bootstrap, but by running
the Markov chain with a given jump size we can obtain the connectedness among topologies,
providing a natural topological distance measure.

174 We then recognize that

175
$$U_f(T_i) \propto \beta_f(T_i) \int L(G_k) P(G_k) \bullet \delta(T_i, G_k) = \beta_f(T_i) C(T_i), \qquad (4)$$

176 where $L(G_k)$, $\beta_f(G_k)$, and $P(G_k)$, are the likelihood, the genealogy sampling bias induced by 177 NJ proposals with sampling fraction *f*, and the prior, respectively. Here we assume a flat prior 178 across all tree topologies. The next step is to divide the uncorrected topology posterior by the 179 sampling distribution induced by the proposals to obtain

180
$$\hat{C}(T_i) \propto \frac{\hat{U}_f(T_i)}{\hat{\beta}_f(T_i)}.$$
 (5)

181 We normalized the corrected posteriors by dividing by the sum of all corrected posteriors over182 all topologies sampled.

183 It may sometimes be useful and possibly more accurate to calculate branch (a.k.a. a

MARKOV KATANA

184 species bi-partition, or edge) posteriors directly over the sample of trees,

185
$$\tilde{U}_{f}(B_{l}) = \frac{1}{K} \sum_{k} \delta(B_{l}, G_{k}), \qquad (6)$$

186 where
$$\delta(B_l, G_k)$$
 is a delta function equal to 1 if G_k has branch B_l , and otherwise 0. The ~

187 symbol indicates that the branch uncorrected posteriors were calculated directly. In this case, it is

- 188 necessary to appropriately adjust for the sampling distribution on the branch induced by
- topological constraints (Pickett 2005), which is contained in both $\tilde{U}_{f}(B_{l})$ and a similarly
- 190 obtained

193

191
$$\tilde{\beta}_f(B_l) = \frac{1}{K'} \sum_{k'=1}^{K'} \delta(B_l, G_{k'})$$
(7)

192 This prior is put back into the posterior calculation as

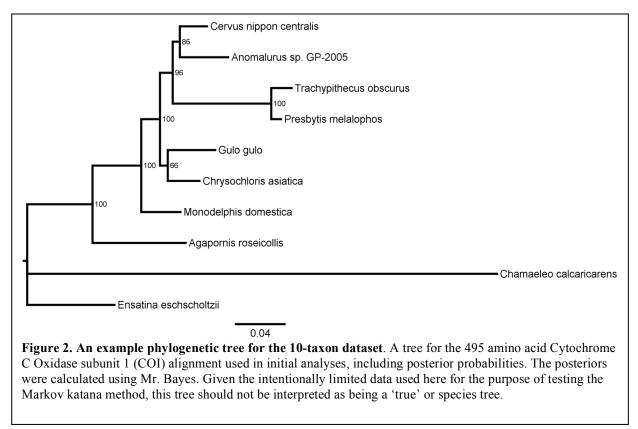
$$\hat{C}(B_l) \propto \frac{\tilde{U}_f(B_l)}{\tilde{\beta}_f(B_l)} * \mathbf{P}(B_l \mid N, s_l), \qquad (8)$$

where $P(B_l | N, s_l)$ is the prior probability of branch B_l induced by topological structures, N is the total number of extant species in the tree, and s_l is the smaller number of species that are partitioned to one side of branch B_l . $P(B_l | N, s_l)$ can be calculated directly (see Methods).

197 Implementation of the Markov katana

MARKOV KATANA

- 198 We began by analyzing a 10-taxon Cytochrome C Oxidase subunit 1 (COI) amino acid
- alignment (495 residues) that was chosen so that there would be a moderate level of topological
- 200 uncertainty in the posterior (Fig. 2). Preliminary evaluations indicated that NJ trees on



201 bootstrapped data have a distribution of topologies that are relatively similar among distance 202 types (Sup. Fig. S1). Although there is considerable noise to the estimates for very small 203 frequencies, and there is a slight shift towards higher frequencies with the Markov katana 204 difference NJ, overall the two measures have a nearly linear relationship. This gave us 205 confidence that NJ trees based on differences rather than corrected distances might be 206 sufficiently accurate for our purposes, so to keep the NJ calculations as simple and fast as 207 possible for initial testing, distances were generated using the simple difference matrix. The 208 likelihood of the proposed tree topology and branch lengths were then evaluated using the 209 mtMam substitution rate model (Yang 1998) on the entire sequences. Continuing to keep things 11

MARKOV KATANA

simple for initial testing, we used a flat prior, although we imagine that most future

- 211 implementations will want to incorporate other priors here, such as the commonly used
- 212 exponential priors on branch lengths (Yang 2005).
- 213 To understand the differences in topology sampling bias estimates obtained using
- different sample sizes, f, Markov katana was run with sample fractions ranging from 100% (495
- sites) down to 20% (99 sites). The topology sampling biases for smaller f become somewhat
- 216 more even, with the least frequent topologies about 10x more frequent for f = 20% than for

f=100% (Fig. 3). At the same time, the number of topologies with sampling probabilities greater

- 218 than 10^{-6} increased from
- 219 5,975 for *f*=100% to
- 220 21,198 for f = 20%.
- 221 Predictably, comparisons
- 222 of replicate sampling
- 223 distribution runs indicated
- 224 an increasing variance in
- estimated biases with
- 226 decreasing probabilities in
- the runs (Fig. S2).
- 228 The posterior
- correction (Equation 5)
- appears to work well
- across a broad range of
- sample sizes (Fig. 4). The

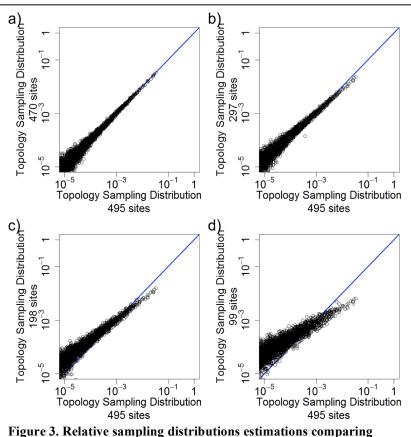
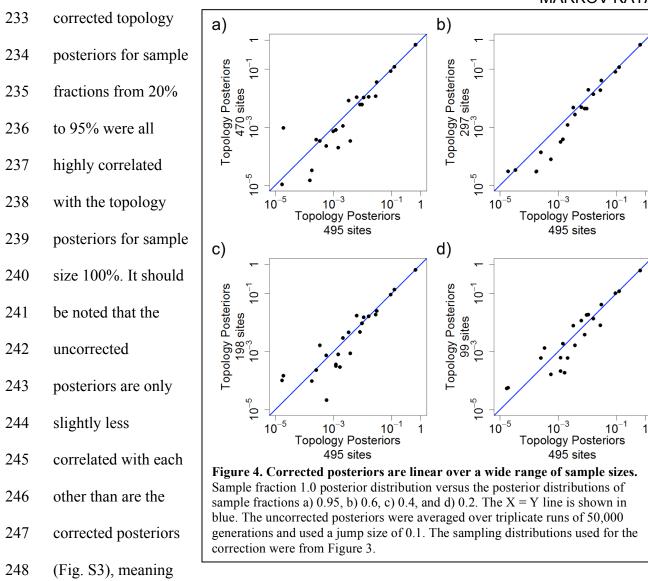


Figure 3. Relative sampling distributions estimations comparing different sample sizes. Sample size 1.0 sampling distribution versus the sampling distributions of sample size a) 0.95, b) 0.6, c) 0.4, d) 0.2. The blue line indicates where x and y values are equal. The sampling distributions were averaged over triplicate runs of 1,000,000 generations and used a jump size of 0.1.



MARKOV KATANA

249 that the answer would have been similar without the correction. It is probably best to use the 250 correction anyway, because in more complicated situations it may make more of a difference, 251 and it is not too much trouble to obtain and is correct. 252 The corrected posterior estimates appear to be most noisy when the sampling distribution 253 estimate is small and therefore poorly estimated. This is not entirely surprising given that the

- 254 sampling distribution is in the denominator. Because the sampling distribution calculations are
- 255 computationally inexpensive (they do not require a likelihood calculation), it is possible to obtain

MARKOV KATANA

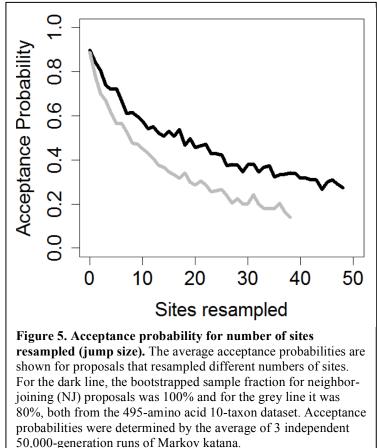
- a couple orders of magnitude more data for them than for the uncorrected posterior estimates.
- 257 While estimating the sampling distribution more precisely is important for the correction, many
- of the trees examined have topologies that are not found in the posterior. A potential means to
- 259 increase accuracy of relevant topologies in the sampling distribution is to limit the sampling prior
- 260 chains to those topologies seen in the uncorrected posterior.

261 Effect of Sample Fraction and Jump Size on the Markov Chain

Although the posterior estimates were comparable for all sample sizes, it is still

worthwhile to consider the effect of both sample size and jump size on the mixing efficiency of

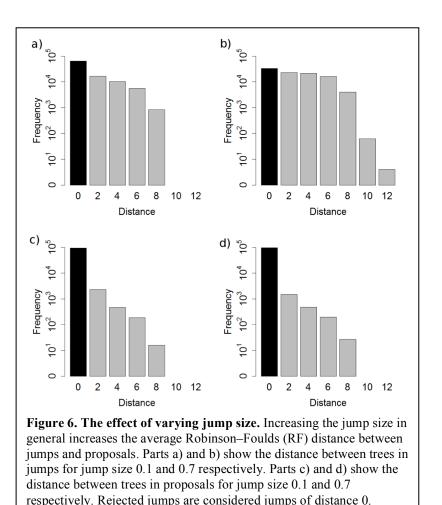
264 the Markov chain. For a range of 265 conditions considered, the acceptance 266 probability for Markov chain proposal 267 varied from 10% to 90% (Fig. 5). We 268 chose 100% sample size bootstraps 269 for the NJ proposals along with a 270 jump size of 50(10%) as standard 271 reference conditions, which had 272 acceptance probabilities of about 273 30%.



MARKOV KATANA

- We also considered the effect of jump size on both the sampling distribution and the
- 275 uncorrected posterior Markov chain estimates. For the initial sampling distribution estimation
- 276 procedure, the most well-mixed chain is of course the one with independent bootstraps

277 (j=100%), but the chain also 278 mixes well with lower jump 279 sizes. It is necessary to have 280 smaller jump sizes because a 281 high proportion (99.9%) of the 282 random samples are not in the 283 uncorrected posterior topology 284 set. For this analysis, the 285 optimal jump size was j=0.85. 286 This result did not differ much 287 for a range of sample sizes. 288 Although differing in detail, 289 the jump size analysis for the 290 uncorrected posterior had



similar results to the biased sampling prior analysis.

Acceptance probabilities varied widely depending on jump size. In general, 5-10 sites appears to be a minimum, and 50 sites is probably a maximum. With smaller sample sizes (e.g., 80% shown here), the jump size is a larger proportion of the sample and reduces the acceptance probability more rapidly. Jump sizes bigger than 50 have somewhat greater probability of making large jumps in topology space (Fig. 6), at the cost of reduced probabilities of jumps to

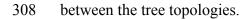
MARKOV KATANA

the same topology due to lower acceptance probabilities.

298 The Structure of Tree Space

Figure 7 shows a

- 300 network representation of the
- 301 12 tree topologies that had a
- 302 posterior of 0.001 or higher
- 303 (see Table 2). The size of the
- 304 node represents the relative
- 305 posterior of the topology, and
- 306 the edges of the graph indicate
- 307 NNI distances of one or two



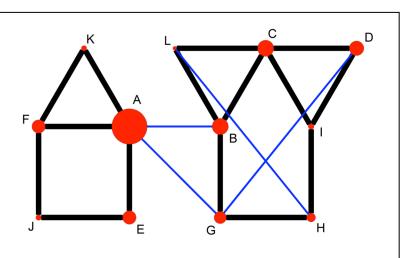


Figure 7. Tree distance network. This figure shows the distances between different tree topologies (A-L). The size of the circle shows the relative posterior probability. Black and blue lines indicate distances of 1 and 2 nearest neighbor interchange (NNI) (RF distance of 2 and 4), respectively. Topologies shown have > 0.001 posterior probabilities.

309 The tree topology space of this test data was clearly divided into two clusters of trees shown by

- 310 the intragroup connections and the few intergroup connections. Given the connectivity of the
- 311 network, other tree topology sampling procedures may have difficulty jumping between groups.

312 DISCUSSION

- 313 We have demonstrated here that the Markov katana bootstrapping approach to
- 314 phylogenetic tree searching can be a highly effective means for finding Bayesian posterior
- 315 topologies and branches. It is able to take advantage of the speed of approximate distance-based
- 316 methods to propose new trees, but retains the reliability of Bayesian methods. Many previous
- 317 phylogenetic tree-search methods use the provided sequences for only the likelihood
- 318 calculations, but Markov katana introduces a new way to explore tree space informed by the

MARKOV KATANA

319	sequences. Including the sequence data in the tree search improves the fraction of high likelihood
320	trees proposed and allows efficient jump proposals between even distant topologies.
321	For the 10-taxon dataset, the NJ algorithm is extremely fast, and the overall speed of the
322	MK computation was limited by the likelihood calculations. As the number of taxa grows
323	beyond \sim 200, the NJ algorithm slows dramatically and dominates computation times (data not
324	shown). This could be alleviated using fast heuristic NJ algorithms or external programs such as
325	RapidNJ that are optimized for large alignments (Simonsen 2008). Our current implementation
326	calculates the distance contribution of each site only once and so is not hindered by the
327	complexity of the distance measure. We did not see a great difference in the proposal bias for the
328	two distance measures we compared, but further exploration of the performance of alternative
329	distances may in some cases be warranted.
330	We used PAML for the likelihood calculations, but any program that computes
331	likelihoods could potentially be used. The simplicity and adjustability of the approach means that
332	it could be easily incorporated into existing sequence analysis packages (e.g., MrBayes, PAUP*,
333	HyPhy, and PAML (Ronquist 2003; Swofford 2003; Pond 2005; Yang 2007)). We used a Perl
334	script to implement the MK algorithm and demonstrate the method as simply as possible, but we
335	expect that MK can be easily integrated directly into existing programs, which would then
336	undoubtedly be much faster. We did not see the benefit in constructing a new likelihood program
337	from scratch, although we believe the methodology would interact well with our existing
338	context-dependent Bayesian analysis program, PLEX (de Koning 2012).

339 ACKNOWLEDGEMENTS

340 Thanks to Seena D. Shah, who contributed to early versions of coding on *MarkovKatana*. We

MARKOV KATANA

- 341 acknowledge the support of the National Institutes of Health (NIH; GM083127 and
- 342 GM097251) to DDP.

343 LITERATURE CITED

- 344 Alfaro, Michael E., Stefan Zoller, and François Lutzoni. 2003. "Bayes or Bootstrap? A 345 Simulation Study Comparing the Performance of Bayesian Markov Chain Monte Carlo 346 Sampling and Bootstrapping in Assessing Phylogenetic Confidence." *Molecular Biology* 347
- and Evolution 20 (2): 255-66. doi:10.1093/molbev/msg028.
- 348 Anisimova, Maria, and Olivier Gascuel. 2006. "Approximate Likelihood-Ratio Test for 349 Branches: A Fast, Accurate, and Powerful Alternative." Systematic Biology 55 (4): 539-350 52. doi:10.1080/10635150600755453.
- 351 Bodlaender, Hans, Mike Fellows, and Tandy Warnow. 1992. "Two Strikes against Perfect 352 Phylogeny." Automata, Languages and Programming, 273–283.
- 353 Brocchieri, Luciano. 2001. "Phylogenetic Inferences from Molecular Sequences: Review and 354 Critique." Theoretical Population Biology 59 (1): 27-40. doi:10.1006/tpbi.2000.1485.
- 355 Castoe, T. A., Z. J. Jiang, W. Gu, Z. O. Wang, and D. D. Pollock. 2008. "Adaptive Evolution and 356 Functional Redesign of Core Metabolic Proteins in Snakes." PLoS One 3 (5): e2201. 357 doi:10.1371/journal.pone.0002201.
- 358 Castoe, Todd A., A. P. Jason de Koning, Hyun-Min Kim, Wanjun Gu, Brice P. Noonan, Gavin 359 Naylor, Zhi J. Jiang, Christopher L. Parkinson, and David D. Pollock. 2009. "Evidence 360 for an Ancient Adaptive Episode of Convergent Molecular Evolution." Proceedings of the National Academy of Sciences, April, pnas.0900233106. 361 362 doi:10.1073/pnas.0900233106.
- 363 Craig, Roger A., and Li Liao. 2007. "Phylogenetic Tree Information Aids Supervised Learning 364 for Predicting Protein-Protein Interaction Based on Distance Matrices." BMC 365 Bioinformatics 8: 6. doi:10.1186/1471-2105-8-6.
- 366 Efron, Bradley, Elizabeth Halloran, and Susan Holmes. 1996. "Bootstrap Confidence Levels for 367 Phylogenetic Trees." Proceedings of the National Academy of Sciences 93 (23): 13429-368 13429.
- 369 Felsenstein, Joseph. 1981. "Evolutionary Trees from DNA Sequences: A Maximum Likelihood 370 Approach." Journal of Molecular Evolution 17 (6): 368-76. doi:10.1007/BF01734359.
- 371 Felsenstein, Joseph. 1984. "Distance Methods for Inferring Phylogenies: A Justification." 372 Evolution 18 (1): 16-24. doi:10.2307/2408542.
- 373 Felsenstein, Joseph. 1985. "Confidence Limits on Phylogenies: An Approach Using the 374 Bootstrap." Evolution 39 (4): 783–91. doi:10.2307/2408678.
- 375 Felsenstein, Joseph. 2004. Inferring Phylogenies. Vol. 2. Sunderland, Massachusetts: Sinauer 376 Associates. http://www.sinauer.com/media/wysiwyg/tocs/InferringPhylogenies.pdf.
- 377 Fukushima, Kenji, Xiaodong Fang, David Alvarez-Ponce, Huimin Cai, Lorenzo Carretero-378 Paulet, Cui Chen, Tien-Hao Chang, Kimberly M. Farr, Tomomichi Fujita, Yuji 379 Hiwatashi, and others. 2017. "Genome of the Pitcher Plant Cephalotus Reveals Genetic 380 Changes Associated with Carnivory." Nature Ecology & Evolution 1: 0059.
- 381 Geyer, Charles J. 1991. "Markov Chain Monte Carlo Maximum Likelihood." In . Interface

MARKOV KATANA

382 Foundation of North America. http://conservancy.umn.edu/handle/11299/58440. 383 Goldstein, Richard A., Stephen T. Pollard, Seena D. Shah, and David D. Pollock. 2015. 384 "Nonadaptive Amino Acid Convergence Rates Decrease over Time." Molecular Biology 385 and Evolution 32 (6): 1373-81. doi:10.1093/molbev/msv041. 386 Hackett, Jeremiah D., Hwan Su Yoon, Shenglan Li, Adrian Reves-Prieto, Susanne E. Rümmele, 387 and Debashish Bhattacharya. 2007. "Phylogenomic Analysis Supports the Monophyly of 388 Cryptophytes and Haptophytes and the Association of Rhizaria with Chromalveolates." 389 Molecular Biology and Evolution 24 (8): 1702–1713. 390 Hastings, W. K. 1970. "Monte Carlo Sampling Methods Using Markov Chains and Their 391 Applications." Biometrika 57 (1): 97–109. 392 Hendy, M. D., and David Penny. 1982. "Branch and Bound Algorithms to Determine Minimal 393 Evolutionary Trees." Mathematical Biosciences 59 (2): 277-90. doi:10.1016/0025-394 5564(82)90027-X. 395 Hershkovitz, Mark A., and Detlef D. Leipe. 1998. "Phylogenetic Analysis." In Bioinformatics, 396 edited by Andreas D. Baxevanis and B. F. Francis Ouellette, 189-230. John Wiley & 397 Sons, Inc. doi:10.1002/9780470110607.ch9. 398 Huelsenbeck, John P. 1995. "Performance of Phylogenetic Methods in Simulation." Systematic 399 Biology 44 (1): 17-48. doi:10.1093/sysbio/44.1.17. 400 Huelsenbeck, John P., and Keith A. Crandall. 1997. "Phylogeny Estimation and Hypothesis 401 Testing Using Maximum Likelihood." Annual Review of Ecology and Systematics 28 (1): 402 437-66. doi:10.1146/annurev.ecolsys.28.1.437. 403 Huelsenbeck, John P., and Mark Kirkpatrick. 1996. "Do Phylogenetic Methods Produce Trees 404 with Biased Shapes?" Evolution 50 (4): 1418–24. doi:10.2307/2410879. 405 Huelsenbeck, John P., Fredrik Ronquist, and others. 2001. "MRBAYES: Bayesian Inference of 406 Phylogenetic Trees." Bioinformatics 17 (8): 754-755. 407 Kirkpatrick, S., C. D. Gelatt, and M. P. Vecchi. 1983. "Optimization by Simulated Annealing." 408 Science 220 (4598): 671-80. 409 Koning, A. P. Jason de, Wanjun Gu, Todd A. Castoe, and David D. Pollock. 2012. 410 "Phylogenetics, Likelihood, Evolution and Complexity." Bioinformatics 28 (22): 2989-411 90. doi:10.1093/bioinformatics/bts555. 412 Koning, AP Jason de, Wanjun Gu, and David D. Pollock. 2010. "Rapid Likelihood Analysis on 413 Large Phylogenies Using Partial Sampling of Substitution Histories." *Molecular Biology* 414 and Evolution 27 (2): 249–265. 415 Kuhner, M. K., J. Yamato, and J. Felsenstein. 1995. "Estimating Effective Population Size and 416 Mutation Rate from Sequence Data Using Metropolis-Hastings Sampling." Genetics 140 417 (4): 1421 - 30.418 Matsuda, Hideo. 1995. "Construction of Phylogenetic Trees from Amino Acid Sequences Using 419 a Genetic Algorithm." Genome Informatics, July, 19. doi:10.11234/gi1990.6.19. 420 Mossel, Elchanan, and Eric Vigoda. 2005. "Phylogenetic MCMC Algorithms Are Misleading on 421 Mixtures of Trees." Science 309 (5744): 2207-9. doi:10.1126/science.1115493. 422 Nixon, K. 1999. "The Parsimony Ratchet, a New Method for Rapid Parsimony Analysis." 423 Cladistics 15 (4): 407-14. doi:10.1006/clad.1999.0121. 424 Pickett, Kurt M., and Christopher P. Randle. 2005. "Strange Bayes Indeed: Uniform Topological 425 Priors Imply Non-Uniform Clade Priors." Molecular Phylogenetics and Evolution 34 (1): 426 203-11. doi:10.1016/j.ympev.2004.09.001. 427 Pollock, David D. 1998. "Increased Accuracy in Analytical Molecular Distance Estimation."

MARKOV KATANA

428	Theoretical Population Biology 54 (1): 78–90. doi:10.1006/tpbi.1998.1362.
429	Pollock, David D., and William J. Bruno. 2000. "Assessing an Unknown Evolutionary Process:
430	Effect of Increasing Site-Specific Knowledge Through Taxon Addition." Molecular
431	<i>Biology and Evolution</i> 17 (12): 1854–58.
432	Pond, Sergei L. Kosakovsky, and Spencer V. Muse. 2005. "HyPhy: Hypothesis Testing Using
433	Phylogenies." In Statistical Methods in Molecular Evolution, 125–181. Springer.
434	http://link.springer.com/content/pdf/10.1007/0-387-27733-1 6.pdf.
435	Reyes-Prieto, Adrian, and Debashish Bhattacharya. 2007. "Phylogeny of Nuclear-Encoded
436	Plastid-Targeted Proteins Supports an Early Divergence of Glaucophytes within Plantae."
437	Molecular Biology and Evolution 24 (11): 2358–2361.
438	Ronquist, Fredrik, and John P. Huelsenbeck. 2003. "MrBayes 3: Bayesian Phylogenetic
439	Inference under Mixed Models." <i>Bioinformatics</i> 19 (12): 1572–1574.
440	Saitou, N., and M. Nei. 1987. "The Neighbor-Joining Method: A New Method for
441	Reconstructing Phylogenetic Trees." <i>Molecular Biology and Evolution</i> 4 (4): 406–25.
442	doi:10.1093/oxfordjournals.molbev.a040454.
443	Salemi, Marco, Philippe Lemey, and Anne-Mieke Vandamme. 2009. <i>The Phylogenetic</i>
444	Handbook: A Practical Approach to Phylogenetic Analysis and Hypothesis Testing.
445	Cambridge University Press.
446	Sanderson, Michael J., and Amy C. Driskell. 2003. "The Challenge of Constructing Large
447	Phylogenetic Trees." <i>Trends in Plant Science</i> 8 (8): 374–79. doi:10.1016/S1360-
448	1385(03)00165-1.
449	Simonsen, Martin, Thomas Mailund, and Christian N. S. Pedersen. 2008. "Rapid Neighbour-
450	Joining." In <i>Algorithms in Bioinformatics</i> , edited by Keith A. Crandall and Jens
451	Lagergren, 5251:113–22. Berlin, Heidelberg: Springer Berlin Heidelberg.
452	doi:10.1007/978-3-540-87361-7_10.
453	Sullivan, Jack, and Paul Joyce. 2005. "Model Selection in Phylogenetics." Annual Review of
454	<i>Ecology, Evolution, and Systematics</i> 36 (1): 445–66.
455	doi:10.1146/annurev.ecolsys.36.102003.152633.
456	Swofford, D. L. 2003. PAUP* Phylogenetic Analysis Using Parsimony (*and Other Methods)
457	(version Version 4). Sunderland, Massachusetts: Sinauer Associates.
458	Takahashi, Kei, and Masatoshi Nei. 2000. "Efficiencies of Fast Algorithms of Phylogenetic
459	Inference Under the Criteria of Maximum Parsimony, Minimum Evolution, and
460	Maximum Likelihood When a Large Number of Sequences Are Used." Molecular
461	Biology and Evolution 17 (8): 1251–58. doi:10.1093/oxfordjournals.molbev.a026408.
462	Vonk, Freek J., Nicholas R. Casewell, Christiaan V. Henkel, Alysha M. Heimberg, Hans J.
463	Jansen, Ryan J. R. McCleary, Harald M. E. Kerkkamp, Rutger A. Vos, Isabel Guerreiro,
464	Juan J. Calvete, Wolfgang Wüster, Anthony E. Woods, Jessica M. Logan, Robert A.
465	Harrison, Todd A. Castoe, A. P. Jason de Koning, David D. Pollock, Mark Yandell,
466	Diego Calderon, Camila Renjifo, Rachel B. Currier, David Salgado, Davinia Pla, Libia
467	Sanz, Asad S. Hyder, José M. C. Ribeiro, Jan W. Arntzen, Guido E. E. J. M. van den
468	Thillart, Marten Boetzer, Walter Pirovano, Ron P. Dirks, Herman P. Spaink, Denis
469	Duboule, Edwina McGlinn, R. Manjunatha Kini, and Michael K. Richardson. 2013. "The
470	King Cobra Genome Reveals Dynamic Gene Evolution and Adaptation in the Snake
471	Venom System." Proceedings of the National Academy of Sciences 110 (51): 20651–56.
472	doi:10.1073/pnas.1314702110.
473	Vos, R. A. 2003. "Accelerated Likelihood Surface Exploration: The Likelihood Ratchet."

MARKOV KATANA

474	Systematic Biology 52 (3): 368–73. doi:10.1080/10635150390196993.
475	Wang, Zhengyuan O., and David D. Pollock. 2005. "Context Dependence and Coevolution
476	among Amino Acid Residues in Proteins." Methods in Enzymology 395: 779-790.
477	Whelan, Simon. 2007. "New Approaches to Phylogenetic Tree Search and Their Application to
478	Large Numbers of Protein Alignments." Systematic Biology 56 (5): 727-40.
479	doi:10.1080/10635150701611134.
480	Whelan, Simon, Pietro Liò, and Nick Goldman. 2001. "Molecular Phylogenetics: State-of-the-
481	Art Methods for Looking into the Past." Trends in Genetics 17 (5): 262–72.
482	doi:10.1016/S0168-9525(01)02272-7.
483	Xia, Xuhua. 2006. "Topological Bias in Distance-Based Phylogenetic Methods: Problems with
484	over-and Underestimated Genetic Distances." Evolutionary Bioinformatics 2.
485	http://search.proquest.com/openview/186314449a175c3222c8c80061e94530/1?pq-
486	origsite=gscholar&cbl=1026404.
487	Yang, Ziheng. 2007. "PAML 4: Phylogenetic Analysis by Maximum Likelihood." Mol Biol Evol
488	24 (8): 1586–91. doi:10.1093/molbev/msm088.
489	Yang, Ziheng, R. Nielsen, and M. Hasegawa. 1998. "Models of Amino Acid Substitution and
490	Applications to Mitochondrial Protein Evolution." Mol Biol Evol 15 (12): 1600–1611.
491	Yang, Ziheng, and Bruce Rannala. 2005. "Branch-Length Prior Influences Bayesian Posterior
492	Probability of Phylogeny." Systematic Biology 54 (3): 455–70.
493	doi:10.1080/10635150590945313.
494	Zharkikh, Andrey, and Wen-Hsiung Li. 1995. "Estimation of Confidence in Phylogeny: The
495	Complete-and-Partial Bootstrap Technique." Molecular Phylogenetics and Evolution 4
496	(1): 44–63. doi:10.1006/mpev.1995.1005.

497

MARKOV KATANA

499 FIGURE CAPTIONS

500 Figure 1. Flow of the Markov katana procedure. 501

Figure 2. An example phylogenetic tree for the 10-taxon dataset. A tree for all protein coding regions in the mitochondrial genome is shown. Posterior probabilities are shown for the 495 amino acid Cytochrome C Oxidase subunit 1 (COI) alignment used in initial analyses. The posteriors were calculated using Mr. Bayes. Given the limited data used for the purpose of testing our method, this tree should not be interpreted as a true or species tree. 506

Figure 3. Relative sampling distributions estimations comparing different sample sizes. Sample size 1.0
 sampling distribution versus the sampling distributions of sample size a) 0.95, b) 0.6, c) 0.4, d) 0.2. The blue line
 indicates where x and y values are equal. The sampling distributions were averaged over triplicate runs of 1,000,000
 generations and used a jump size of 0.1.

Figure 4. Corrected posteriors are linear over a wide range of sample sizes. Sample fraction 1.0 posterior distribution versus the posterior distributions of sample fractions a) 0.95, b) 0.6, c) 0.4, and d) 0.2. The X = Y line is shown in blue. The uncorrected posteriors were averaged over triplicate runs of 50,000 generations and used a jump size of 0.1. The sampling distributions used for the correction were from Figure 3.

Figure 5. Acceptance probability for number of sites resampled (jump size). The average acceptance
probabilities are shown for proposals that resampled different numbers of sites. For the dark line, the bootstrapped
sample fraction for neighbor-joining (NJ) proposals was 100% and for the grey line it was 80%, both from the 495amino acid 10-taxon dataset. Acceptance probabilities were determined by the average of 3 independent 50,000
generation runs of Markov katana.

Figure 6. The effect of varying jump size. Increasing the jump size in general increases the average Robinson– Foulds (RF) distance between jumps and proposals. Parts a) and b) show the distance between trees in jumps for jump size 0.1 and 0.7 respectively. Parts c) and d) show the distance between trees in proposals for jump size 0.1 and 0.7 respectively. Rejected jumps are considered jumps of distance 0.

Figure 7. Tree distance network. This figure shows the distances between different tree topologies (A-L). The size of the circle shows the relative posterior probability. Black and blue lines indicate distances of 1 and 2 nearest neighbor interchange (NNI) (RF distance of 2 and 4), respectively. Topologies that are > 0.001 posterior probability.

532 TABLES

533 Table 1: Species in the Cytochrome C Oxidase Subunit 1 Alignment

Chrysochloris asiatica
Monodelphis domestica
Chamaeleo calcaricarens
Trachypithecus obscurus
Gulo gulo
Ensatina eschscholtzii
Cervus nippon centralis
Presbytis melalophos

MARKOV KATANA

Anomalurus sp. GP-2005	
Agapornis roseicollis	

534

535 Table 2: Tree Posteriors

Letter	Id	Posterior
А	16405	0.692
В	78835	0.067
С	36915	0.066
D	92575	0.048
E	26545	0.038
F	57985	0.037
G	80055	0.029
Н	39655	0.010
Ι	2955	0.003
J	82665	0.003
K	8085	0.002
L	88595	0.001

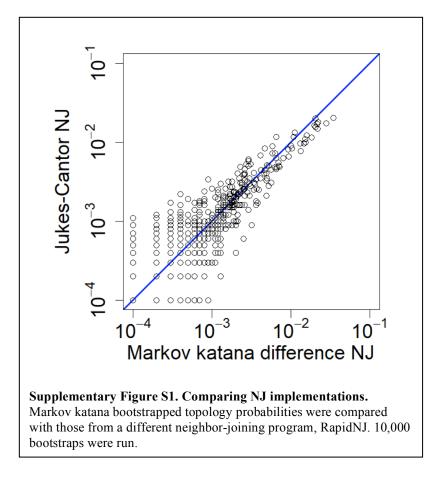
⁵³⁶ **Table 2.** Posterior probability for topologies with substantial representation in the

538 7.

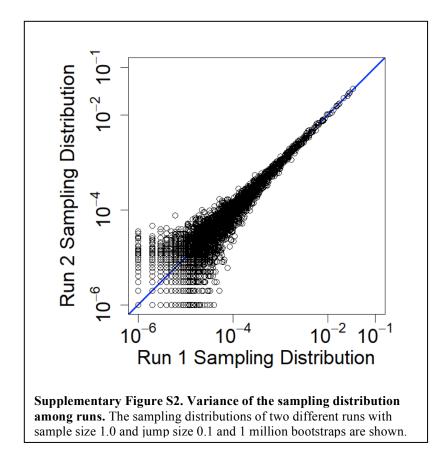
539

⁵³⁷ uncorrected posterior for the 10-taxon dataset. The topologies are labeled for reference in Figure

MARKOV KATANA



MARKOV KATANA



542

MARKOV KATANA

